

FEDERAL RAILROAD ADMINISTRATION
CONTROL OF ALCOHOL AND DRUG USE
(49 CFR PART 219)

**MODEL PART 219 CONTRACTOR/VOLUNTEER
COMPLIANCE PLAN**

As of June 20, 2002

MODEL PART 219 CONTRACTOR/VOLUNTEER COMPLIANCE PLAN

The Federal Railroad Administration (FRA) recognizes railroads can use internal employees, contract employees, and even volunteers to perform Part 219 “covered service” subject to the Federal hours of service laws (Covered Employees) functions on the railroad. The railroad is responsible for ensuring ***ALL*** personnel performing these covered functions are in compliance with all Part 219 requirements.

FRA’s Model Part 219 Contractor/Volunteer Compliance Plan has been developed by FRA as a tool to help with compliance for any railroad who uses personnel other than internal employees to perform “covered” functions. Utilization of this tool with the entity providing the “covered” personnel will help demonstrate the railroad’s due-diligence in ensuring these non-employees are in compliance with Part 219.

Simply signing and adopting this plan does not constitute compliance. The actions required by the regulation, regardless of employment affiliation, must be in accordance with regulatory requirements to achieve compliance. Railroads choosing to use this model plan should have their non-employee entity complete and submit this plan back to the railroad. The railroad should then append this plan to the required random plan and submit it to FRA for approval as part of the employer’s random plan. The FRA also expects the railroad to demonstrate its due diligence in complying with the regulation by instituting a self-audit program with entities providing “covered” function personnel. As a reminder, FRA will review compliance with the regulations. FRA can choose to hold the employer responsible for any non-compliance whether it be the employer or contractor or other entity last serving the employer; or if the facts warrant, the FRA could hold the entity responsible or both.

In all cases where there is a difference between this plan and 49 CFR Part 219 or 49 CFR Part 40, the CFR takes precedence. Railroad employers, and entities (contractors/volunteers) are reminded that Federal authority can be used only if authorized by 49 CFR Part 219. Therefore, entities having less than 16 covered employees in combination with the supported railroad entity (if appropriate) are not authorized to conduct Federal random, pre-employment, or reasonable cause testing.

NOTE: Title 49, CFR Part 40 requires employers to have a Designated Employer Representative (DER), defined in 40.3 as “An employee authorized by the employer to take immediate action(s) to remove employees from safety-sensitive duties, or cause employees to be removed from these covered duties, and to make required decisions in the testing and evaluation processes. The DER also receives tests results and other communications for the employer, consistent with the requirements of Part 40. Service agents cannot act as DERs.” In the past, this person may have been referred to as the Program Administrator so to avoid misunderstanding, both DER and Program Administrator are used interchangeably throughout the plan.

NOTE: Please make all entries, changes, or additions in bold, italics, or other distinguishing manner.

I. Policy Statement

This company/entity/person, hereafter "company" _____
(Name)

recognizes the problem of substance abuse in today's society. This problem poses particular concerns to an employer who is subject to governmental regulations and seeks to promote the safety of the general public. This company has a concern for the safety, health and well being of its employees as well as an obligation to comply with the United States Department of Transportation (DOT) and Federal Railroad Administration (FRA) regulations. This company will comply with all statutes and regulations administered by the FRA in implementing the required Part 219 Drug and Alcohol Program.

Programs have been established in this company which require covered employees to demonstrate their safety posture through:

1. Urine screens to detect the presence of marijuana, cocaine, opiates (morphine, codeine), phencyclidine and amphetamines (methamphetamines);
2. Breath alcohol tests to detect the unauthorized use of alcohol; and
3. Breath, urine, blood and tissue (fatality) testing after qualifying FRA Post-Accident events.

In accordance with the applicable Federal regulations, this company prohibits persons who perform work covered by the Federal Hours of Service Laws (see 49 U.S.C. §§ 21101-21108) from being under the influence and/or possession of illegal substances and/or under the influence of alcohol while on duty or within four hours of reporting for covered service. Additionally, illegal substance use is prohibited at any time on or off duty.

II. Identifying Information. Note: If any of the following personnel or entities change, the railroad is obligated to send FRA a change notice.

Company

Name: _____

Address: _____

Phone: _____

Fax: _____

E-Mail: _____

DER/Program Administrator

Name: _____ Address: (If different from above)

Phone: _____

Fax: _____

E-Mail _____

Medical Review Officer

Name: _____

Address: _____

Phone: _____

Fax: _____

Testing Laboratory

Name: _____

Address: _____

Phone: _____

Fax: _____

III. Scope

This policy applies to all personnel who are subject to perform duties subject to the Federal hours of service laws (Covered Employees). This company provides personnel who perform covered services for the _____ Railroad for the following covered service (functions) positions:

Approximately _____ covered service personnel will work for the above railroad.

IV. Testing Programs

There are numerous situations when Federal drug and/or alcohol tests must be administered for the railroad to be in compliance with 49 CFR Part 219. Personnel performing functions listed in Section III of this policy will be required to submit to a drug and/or alcohol test in the instances set forth, as follows:

- A. Pre-employment Drug Testing - (49 CFR 219.501) - Alcohol testing is optional subject to the conditions in 219.502.

Applicants will be informed that all individuals this entity will use for covered service must be drug-free. Passing a Federal pre-employment drug test is a condition prior to performing covered service duties. If an applicant refuses to submit to the drug test, or tests positive on the drug test, the applicant will not be considered qualified to perform covered service and will not be offered a position in covered service.

- B. Testing For Cause - (49 CFR 219.300 and 301)

1. Reasonable Suspicion Testing - (49 CFR 219.300)

Covered service personnel will be required to submit to a Federal drug and/or alcohol test whenever a properly trained supervisory employee of this company or assigned railroad has reasonable suspicion (as defined in 49 CFR Part 219) that a covered employee is currently under the influence of or impaired by a controlled substance or alcohol.

Reasonable suspicion must be based on specific, contemporaneous personal observations the supervisor can articulate concerning the employee's appearance, behavior, speech, body odor, chronic effect or withdrawal effects. The observations must be made by at least one qualified supervisor (219.11(g)), who has received proper training in the signs of alcohol use and/or at least two qualified supervisors (one of whom has been trained and is on-site) who have received proper training in the signs and symptoms of drug use consistent with standards which meet FRA regulatory requirements. Documentation of this decision must be maintained.

2. Federal Reasonable Cause Testing - (49 CFR 219.301) **Authorized but not required.**

A Federal reasonable cause drug and/or alcohol test may be required (Employer's decision) when a covered service person:

- a. was involved in a qualifying accident (219.301(b)(2)) and a supervisor has a

reasonable belief based on specific and articulable facts that the covered service person's acts or omissions contributed to the occurrence or severity of the incident, or
b. committed a rule violation described in 219.301(b)(3).

This company will coordinate with the host railroad and decide how the supervisor on the site will immediately communicate and coordinate decisions to test and who (contractor/volunteer or supported railroad) will administer the necessary testing. In all Reasonable Suspicion and Reasonable Cause cases, the supervisor will ensure that the covered service person is transported immediately to a collection site for a timely collection of a urine and/or breath specimen(s). If the covered service person is deemed not fit to return to work, the supervisor will arrange transportation for the person. This is not a Federal requirement but safety will be better assured if accomplished.

Supervisors must document the observations that led them to decide that there was "reasonable suspicion or cause" to have the covered service person submit to a Federal drug and/or alcohol test.

C. FRA Post-Accident Drug/Alcohol Testing - (49 CFR 219.201)

FRA regulations require blood and urine specimens from all surviving covered service personnel when they are directly involved in a qualifying accident or incident. Tissues are also collected in addition to urine and blood from any fatality involving an on-duty railroad employee (direct or contractual employee). Events requiring FRA post-accident testing include (note regulatory exceptions will be followed):

1. Major train accident involving any rail equipment accident with damages in excess of the current reporting threshold under 49 C.F.R. Part 225 (\$6,700 in 2002) and one or more of the following:
 - (1) A fatality (any fatality).
 - (2) A release of hazardous material from railroad "lading" that results in an evacuation or reportable injury caused by the hazardous material release.
 - (3) Damage to railroad property of \$1,000,000 or more.
2. Impact accident involving damage in excess of the current reporting threshold that results in a reportable injury or Damage to railroad property of \$150,000 or more.
3. Fatal train incident involving any on-duty railroad employee where damages do not exceed the (current reporting) threshold.
4. Passenger train accident with a reportable injury to any person in a train accident involving damage in excess of the current reporting threshold that involves a passenger train.

The railroad employer supervisor(s) on the scene will make the timely determinations as to the event being a qualifying event and which covered employee personnel (if any) are required to be

tested and which will not be tested according to the rule.

Specimens for any FRA mandatory post-accident testing will be collected using procedures required in Part 219 Appendix C. The railroad's FRA Post-Accident Specimen kits must be used. Specimens will be collected, packaged and shipped via express courier service by the railroad where the covered employee/person(s) were working.

The shipping address is as follows:

NWT, Inc.
1141 East 3900 South
Suite A-110
Salt Lake City, UT 84124
1-800-322-3361 or 1-801-268-2431 (Daytime)
1-801-483-3383 (Night and Weekends)
Fax: 1-801-263-3605

This company will coordinate all necessary actions with the railroad. This entity (contractor/volunteer) will identify appropriate covered personnel who must be tested and then ensure that specimens are collected and shipped.

D. Random Drug & Alcohol Testing – (49 CFR 219.600)

The railroad utilizing this entity's covered service personnel is responsible for ensuring that the random program meets regulatory requirements and is approved by FRA (see Appendix A). One acceptable way the railroad can accomplish this is to have the contractor/volunteer complete FRA's Model Part 219 Contractor/Volunteer fill-in-the-blank random plan (alcohol/drug) and then append those plans to the railroad's random program. Another method is to develop its own plan which covers all the aspects in FRA's model plan and meets Federal requirements and append that plan to the railroad's plan and submit that to the FRA for approval. The principles which are required in the FRA regulation for the plan to be in compliance are attached (see Appendix B). The selection process will ensure that each covered service person has an equal chance of being selected at every random selection. The random plan shall ensure that testing is accomplished at the beginning and at the end of the duty period for alcohol. The minimum percentage of alcohol testing at either end of the duty period is 10 percent over the course of a year. Currently (2002) employees must test at a 10 percent rate for alcohol and 25 percent for drugs. Identify if you are testing at a higher rate:

The DER/Program Administrator for this entity will:

1. Identify and maintain an up-to-date database or list of all personnel working in covered service and ensure they are all in the random pool(s).
2. Administer the computer or manual selection for the required number of collections for the selection period. This arrayed or ordered list will be sent to the on-site contractor/volunteer supervisor for the administration of the testing. If you are using a consortium/third party administrator, identify the following:
Name of C/TPA: _____ Phone: _____
Address: _____
3. This entity's on-site supervisor will utilize the list to identify the person's social security number or ID number and confidentially hold the selection information until the designated time of the test.
4. Safeguard records to ensure that information concerning collection dates and selections are not disclosed until necessary to arrange for collection or provide notifications. To ensure objectivity and credibility, the testing date and time within the testing "window" provided in the plan, will be determined by the DER/Program Administrator. Identify your testing window in which the selected employees/units will be tested (not to exceed 30 days). If selections are made on a quarterly basis (e.g., by a contractor), identify an objective procedure for placing them into their maximum testing window of 30 days. For example, if a contractor selects 9 employee names for the quarter, the railroad could state that the first 1/3 of the names would be tested in the first month, the second 1/3 would be tested in the second month, etc.
Testing Window: _____
Objective Procedure, if applicable: _____

5. Ensure selected covered service personnel are tested or document who is unavailable due to authorized vacation, sick leave, suspension, jury duty, or leave of absence. Selected personnel do not actually have to be performing covered service on the test date, rather they have to be on duty and subject to performing covered service.
6. Identify your random drug and alcohol testing program, including the method of selection (computer, random number table, etc.) Note that the lottery style (e.g., drawing out of a hat) is no longer acceptable. If you are not using the random number table in Appendix D, delete it from this submitted plan. Only submit what is applicable to your program. Identify how many FRA random pools you have and what type of covered employees are in the pool (e.g., train employees, yard employees, train dispatchers, utility employees, signalmen, etc.) Identify the frequency of your selections (e.g., monthly, quarterly, etc.) The selections should be made at least on a quarterly basis. Identify how you plan to spread the testing throughout the entire duty period or day. Include any other information on the manner and implementation of your random selection, pools, testing, etc.
Random Drug and Alcohol Testing Program: _____

In the event that all or a clearly defined portion of the railroad is subject to an emergency such as a flood or severe ice storm, the ranking operations officer on duty is authorized to declare an emergency by completing a memorandum setting forth the facts necessitating this action. If such an emergency determination is made, the date/time of the emergency and random drug/alcohol tests that were suspended must be entered into the DER/Program Administrator's files. Random selections not administered because of the emergency are deemed void, and the selection numbers will be adjusted later to make the required percentage.

Only a substantiated medical emergency involving the selected person or an emergency involving an immediate family member (e.g., birth, death, or a medical emergency) provides the basis for excusing a covered employee/person from being tested once notified. A medical emergency is defined as an acute medical condition requiring immediate emergency care. A person excluded under these criteria must provide substantiation from a credible outside professional (e.g., doctor, hospital, law enforcement officer, school authority, court official) which can be furnished prior to this release or within a reasonable period of time after the emergency has been resolved. Such excluded (excused) persons will not be tested based on this selection.

Once the covered service person selection is made, the DER/Program Administrator will arrange notification. No prior notification will be given. A selected person will only be tested during his/her tour of duty, extended only long enough to complete testing but not to exceed Federal hours of service law requirements. The person, once notified, must proceed to the selected testing facility IMMEDIATELY. The collection date and time during the selection period (testing window) will be varied by the DER/Program Administrator to ensure that it cannot be anticipated.

V. Drug Testing Procedures

The designated collection agents will be qualified and follow the proper collection procedures as described in 49 CFR Part 40.

- a. The Medical Review Officer (MRO) will review all drug test results as required in 49 CFR Part 40. All test results will be reported exclusively through the MRO.
- b. A laboratory certified by the Department of Health and Human Services/Substance Abuse and Mental Health Service Administration (DHHS/SAMHSA), under the Mandatory Guidelines for Federal Workplace Drug Testing Programs, will perform all drug testing.

- c. Test results will be reported from the laboratory only to the MRO for review and action consistent with 49 CFR Part 40.
- d. The name of the individual providing the specimen will remain confidential and will not be provided to the laboratory performing the test. The testing laboratory is only able to identify the specimen by the specimen identification number printed on the chain-of-custody form. The laboratory will only use a urine custody and control form consistent with the requirements of 49 CFR Part 40.
- e. The designated laboratory will only test for the drugs listed in 49 CFR 40.85.
- f. The MRO will verify the results and report (using procedures in 49 CFR Part 40) to the DER/Program Administrator whether the test was positive or negative and the drugs for which there was a positive result.
- g. External blind performance testing specimens will be submitted as required by 49 CFR 40.103.

VI. Alcohol Testing Procedures/Results

Breath alcohol testing will be performed by fully trained and certified Breath Alcohol Technicians (BAT) using National Highway Traffic Safety Administration (NHTSA) approved testing devices. The results will be documented on an approved Federal Breath Alcohol Testing Form and will be signed by the person and the BAT. At the time of the alcohol test, the person will receive a copy of the test result, with an identical copy being sent to the contractor/volunteer's DER/Program Administrator.

- a. Negative results. The DER/Program Administrator will be mailed a copy of the negative test results.
- b. Positive results. The BAT will immediately and directly notify the railroad's DER/Program Administrator if the test results are positive (.02 or higher). The railroad's DER/Program Administrator will notify the contractor/volunteer's DER/Program Administrator of the result who will take appropriate action to remove or restrict the employee from covered service as required in the regulation.

VII. Drug Test Results

For any FRA testing, the contractor/volunteer employer should notify the employee in writing of test results.

Positive or Otherwise Non-Negative Results. If the laboratory reports the drug test result as POSITIVE or otherwise non-negative, the following procedures will be followed:

- a. The MRO will immediately inform the covered service person of the result and offer the person the opportunity for an interview to discuss the test result. If the MRO has difficulty reaching the employee, the procedures set forth in 49 CFR 40.131 will be followed.
- b. The MRO will complete and document the review as required by 49 CFR 40 Subpart G, determining if the external chain of custody was intact, if the person has a legitimate medical explanation for the presence of any controlled substance, and whether there is any basis to question the scientific sufficiency of the test results. In the case of an opiate positive, the MRO will also make the special determinations required by the regulation.
- c. If the MRO verifies the test result as positive, the MRO will report the result to the railroad's DER. If the MRO determines that the non-negative result cannot be explained, the appropriate regulatory action will be pursued. The chart at Appendix C delineates the appropriate action. The MRO will provide the DER with a certified copy of copy two of the custody and control form, showing verification by the MRO. The MRO will not provide the DER with the quantitative test results unless the employee, as stipulated in the regulation, disputes the test. The railroad's DER will notify the contractor/volunteer's DER of the result.

Negative results. If the MRO has determined that the drug test is NEGATIVE, the MRO will accomplish the required administrative review and report the negative results to this entity's DER/Program Administrator who should provide the person with a negative report.

VIII. Confidentiality

- a. Medical information a covered person provides to the MRO during the verification process is treated as confidential by the MRO and is not communicated to the company except as provided in Part 40.
- b. Confidentiality of Federal drug or alcohol testing results will be maintained as required by regulations. For example:
 1. The laboratory observes confidentiality requirements as provided in the regulations. This entity does not advise the laboratory of the identity of persons submitting specimens. The laboratory performing the testing must keep all records pertaining to the drug test for a period of two years.
 2. All test results will remain exclusively in the secure files of the MRO. The MRO will observe strict confidentiality in accordance with the regulations and professional standards. The MRO will retain the reports of individual test results as required in Subpart J.
 3. The DER/Program Administrator will maintain all test results reported by the MRO, both positive and negative, in secure storage. The results will be retained as required in Subpart J. Other personnel will be informed of individual test results only in the case of positive tests and authorized only on a need-to-know basis.

IX. Covered Service Personnel Training Program (49 CFR 219.11)

- a. Supervisors will have the required three (or more) hours of education and training on alcohol misuse and controlled substance use. The training will cover the physical, behavioral, speech and performance indicators of probable alcohol misuse and use of controlled substances. It will also prepare the supervisors to make the decisions necessary in reasonable suspicion and Post-Accident situations (i.e., what is a qualifying event and who is to be tested).
- b. Each covered service person will receive a copy of this policy and the other information requirements in 49 CFR Part 219.23(e) which clearly states the prohibitions required by the regulation. In addition, each covered person will be given information concerning the problems caused by alcohol or controlled substances and available methods of intervening when an alcohol or controlled substance problem is suspected, including confrontation, referral to an employee assistance program and/or referral to management.

X. Prescription Drugs (49 CFR 219.103)

The use of controlled substances (on Schedules II through V of the controlled substance list) is not prohibited as long as they are prescribed or authorized by a medical practitioner and used at the dosage prescribed or authorized. Either a treating medical professional or a railroad-designated physician should determine that of the prescription(s) at the prescribed or authorized dosage is consistent with the safe performance of the employee's duties. Covered service personnel should also seek the advice of a medical professional whenever they are taking any over-the-counter drug which may adversely affect the safe performance of duties.

XI. Compliance with Testing Procedures

- a. All covered service personnel/applicants requested to undergo a Federal drug and/or alcohol test are required to promptly comply with this request. This entity expects all prospective and current covered service personnel to exercise good faith and cooperation in complying with any procedures required under this policy. Refusal to submit to a Federal drug or alcohol test required under FRA rules, engaging in any conduct which jeopardizes the integrity of the specimen or the reliability of the test result, or any other violations of the prohibited conduct in 49 CFR Part 219.101 or 219.102 could subject the person to disciplinary action, (up to and including termination), independent and regardless of any test result. This includes failure to show up on time for a drug/alcohol test or postponing or rescheduling of specimen collections. This company reserves the right to require a direct observation collection for subsequent return-to-duty or follow-up urine specimen collections when the covered service employee has had a previous positive Federal test result, or has previously refused to take a Federal test.
- b. As a minimum, a covered service person will be removed from FRA covered service for a minimum of nine months if there is a finding of "refusal to test."

XII. Positive Test Results

- a. Covered service personnel should receive written notification of test results which are other than negative. A Federal positive drug test or a Federal alcohol test result of .02 or greater or a refusal to test will result in immediate removal from covered service under FRA regulations. A positive alcohol test of at least .02 but less than .04 will result in the removal of the person from covered service for at least eight hours.
- b. A covered service person with a positive drug test or a breath alcohol test result of .04 or greater will be required to undergo an evaluation by a qualified Substance Abuse Professional (SAP) that is company approved, to determine the need for treatment and/or education. The employee will be required to participate and comply with the recommended treatment and any after-care or follow-up treatment that may be recommended or required.

After successful treatment, the person will be required to provide a Federal return-to-duty urine specimen and/or breath specimen for testing (which is negative) prior to being allowed to return to covered service. In addition, the person will be subject to additional unannounced Federal follow-up testing, as determined by the SAP, for a maximum period of 60 months with a minimum of six tests being performed in the first twelve months (engineers - 6 drug tests and 6 alcohol tests). Failure to comply with these provisions and remain alcohol and drug-free will result in subsequent removal from covered services and could result in disciplinary action, up to and including termination. Note: Federal regulation does not guarantee the employee will maintain an employment relationship. This is determined via employer and employee negotiation.

- c. Identify other employer sanctions (if applicable) for a Federal alcohol test result of at least 0.02 but less than 0.04: _____

Identify other employer sanctions (if applicable) for a Federal alcohol test result of 0.04 or greater: _____

Identify other employer sanctions (if applicable) for a Federal positive drug test: _____

XIII. Rehabilitation

- a. This entity has an employee assistance program (EAP) and SAP which provides covered service personnel with a comprehensive EAP/SAP that can help individuals with alcohol and/or drug abuse problems.

EAP

Contact person: _____

Address: _____

Phone: _____

SAP

Contact person: _____

Address: _____

Phone: _____

b. Other rehabilitation information is as follows:

This entity's program to comply with Part 219.403 (voluntary referral policy) is as follows. Include the minimum requirements of 219.403 such as leaves of absence, confidentiality, etc.

NOTE: 240.119 (e) requires a railroad to include in its voluntary referral policy, a provision that, at least with respect to a certified locomotive engineer or a candidate for certification, the policy of confidentiality is waived (to the extent that the railroad shall receive from the EAP Counselor official notice of the substance abuse disorder and shall suspend or revoke the certification, as appropriate) if the person at any time refuses to cooperate in a recommended course of counseling or treatment. Please also note that generally, testing conducted pursuant to the railroad voluntary referral policy is non-Federal testing because a violation of Federal regulations has not yet occurred.

This entity's program to comply with Part 219.405 (co-worker report policy) is as follows. Again, include the minimum requirements outlined in 219.405:

NOTE: Generally, testing pursuant to a railroad's co-worker report policy should be Federal testing (e.g., Federal return-to-work and Federal follow-up testing) because a violation of Federal regulations has occurred.

Appendix A

Once the FRA has approved a Random drug and alcohol testing plan, the railroad will receive an approval letter, which includes these conditions.

STANDARD APPROVAL CONDITIONS FOR RANDOM TESTING PROGRAMS

1. This approval is effective upon receipt with respect to all matters within its scope. FRA reserves administration jurisdiction over all approvals and may reopen review based upon experience gained during implementation.
2. Approval of the subject random testing program does not constitute or imply the granting of a waiver or exemption from any provision of Federal law or regulation. Compliance with all applicable provisions of 49 CFR Parts 219 and 40 is required. All random program plans must be applied in accordance with Attachment A below.
3. Approval is contingent upon the railroad making appropriate amendments to the program to conform to any pertinent regulatory amendments that may be issued hereafter. Any such program amendments that may be required shall be submitted to the Associate Administrator for Safety at FRA by the effective date of the subject regulatory amendments, or by the expiration of 30 days from publication of the regulatory amendments in the *Federal Register*, whichever is later.
4. Amendments to the program shall be submitted as required by 49 CFR 219.601(a) and shall not be implemented prior to approval. The following guidance is provided with respect to when a program is deemed to have been amended.
 - a. Any change in the selection methodology, the criteria for scheduling collections, non-availability criteria, or other structural element is a program amendment. Any change in the organizational level at which a function is carried out is a program amendment.
 - b. Substitution of incumbents performing the same function at the same organizational level (persons or contractors/volunteers) is not deemed to amend the program. Notification of these changes would be appreciated to assist FRA in maintaining liaison, but is not required.
 - c. Any change in a program that is occasioned by an amendment of an applicable DOT/FRA regulation and that involves the exercise of discretion to choose between or among one or more courses of action is a program amendment required to be filed under item 3 above. Any non-discretionary change in a program that is required by amendment of an applicable DOT/FRA regulation is not considered a program amendment requiring approval; however, the Office of Safety, FRA, would appreciate receipt of an informational copy of the revised program document showing current compliance.
 - d. Any case not addressed above may be resolved by contacting the Office of Safety, FRA. Any such guidance is provided in writing over the signature of the Associate Administrator for Safety or that individual's delegate.

Appendix B

CRITERIA FOR ASSESSING DEPARTMENT OF TRANSPORTATION (DOT) RANDOM DRUG AND ALCOHOL TESTING PROGRAMS

Section I. Random Testing Pools

- A. Random pool(s) must accurately and completely include all covered service personnel. Whoever is performing the safety-sensitive “covered service”, regardless of job title or status, is subject to 49 CFR Part 219 requirements (supervisors, volunteers, contractors, etc.). Pool lists must be retained for a minimum of two years.
- B. An employer may not mix covered service and non-covered service personnel in the same pool.
- C. Multiple pools for an employer are acceptable.
- D. Employees do not need to be placed in separate pools for drug and alcohol testing selection.
- E. Employees from different DOT operating administrations can be included in the same pool. It is strongly recommended, however, that employers not mix groups of personnel subject to different drug or different alcohol testing rates (i.e., having some employees subject to a 50% rate for drugs and other employees subject to a 25% rate in the same pool). If they do, they must test the entire pool at the highest selection rate for any of the groups with personnel in the pool.
- F. Pools may not be diluted with covered service personnel who rarely perform covered service duties (i.e., less than once per quarter).
- G. Pools must be routinely updated (i.e., at least monthly for employers with either a changing workforce or seasonal employees; and quarterly for employers with a generally stable workforce).
- H. Besides individual employees, specific jobs (i.e., third shift main dispatcher at XYZ location) or operational units (i.e., trains) may also be pool entries. However, there may not be a significant difference in the size of the entries in the pool.
- I. Pool entries may not be constructed in a way which could result in a manager/supervisor having discretion as to who would be actually provide a sample (e.g., a specific job cannot be selected with multiple people working in it at the same time, but with only one to be tested).

Section II. Random Selections

- a. Everyone in a pool must have an equal chance of selection in each selection period.
 - 1. No individual, job, or operational unit may be removed from the pool if it is still actively performing covered service. However, employees doing de minimus covered service may be eliminated from the pool (see Section I.-f).
 - 2. There may be no selections without replacement (i.e., an individual cannot be removed from the pool because he or she was previously tested).
 - 3. No selection weightings are allowed which would increase or decrease the chance of any individual being selected.
- b. The following selection options are acceptable:
 - 1. Computer programs which randomly select entries from an employee list without apparent bias. The specific selection criteria used by the computer must be extensively detailed in writing, and each computer draw must be retained as a record for a minimum of two years.
 - 2. Manual selection from a list of employees using a random-number table. The specific criteria used to select from the table must be documented in writing, including detail on how the initial starting point in the table was determined. Each draw, as well as a copy of the table portion used, must be retained as a record for a minimum of two years. See Appendix D for Model Procedures to Conduct A FRA-Acceptable Random Testing Program Using a Random Number Table for Selections.
- c. If the employee testing pool is so small that it does not allow testing each selection period, then the employer must have in place a mechanism to randomly determine which selection periods will have selections and which will not. The specific criteria used to make this determination must be detailed in writing and the determination itself must be retained as a record for a minimum of two years.
- d. If required drug and alcohol testing rates are different (i.e., 50% for drugs and 25% for alcohol) and a single pool is being used, it is permissible to select one list of employees and designate a proportion for both drug and alcohol testing and a proportion for drug testing only. The specific criteria used to make this determination must be detailed in writing, and the master selection list with both sub-groups clearly identified must be retained as a record for a minimum of two years.
- e. Employers should carefully monitor significant changes in its workforce in order to ensure that an appropriate number of tests will be conducted each year. Unless otherwise directed by the DOT Operating Administration, changes in the employee base of greater than 10% in a quarter should result in a recalculation of total tests required.

Section III. Implementation of Random Collections

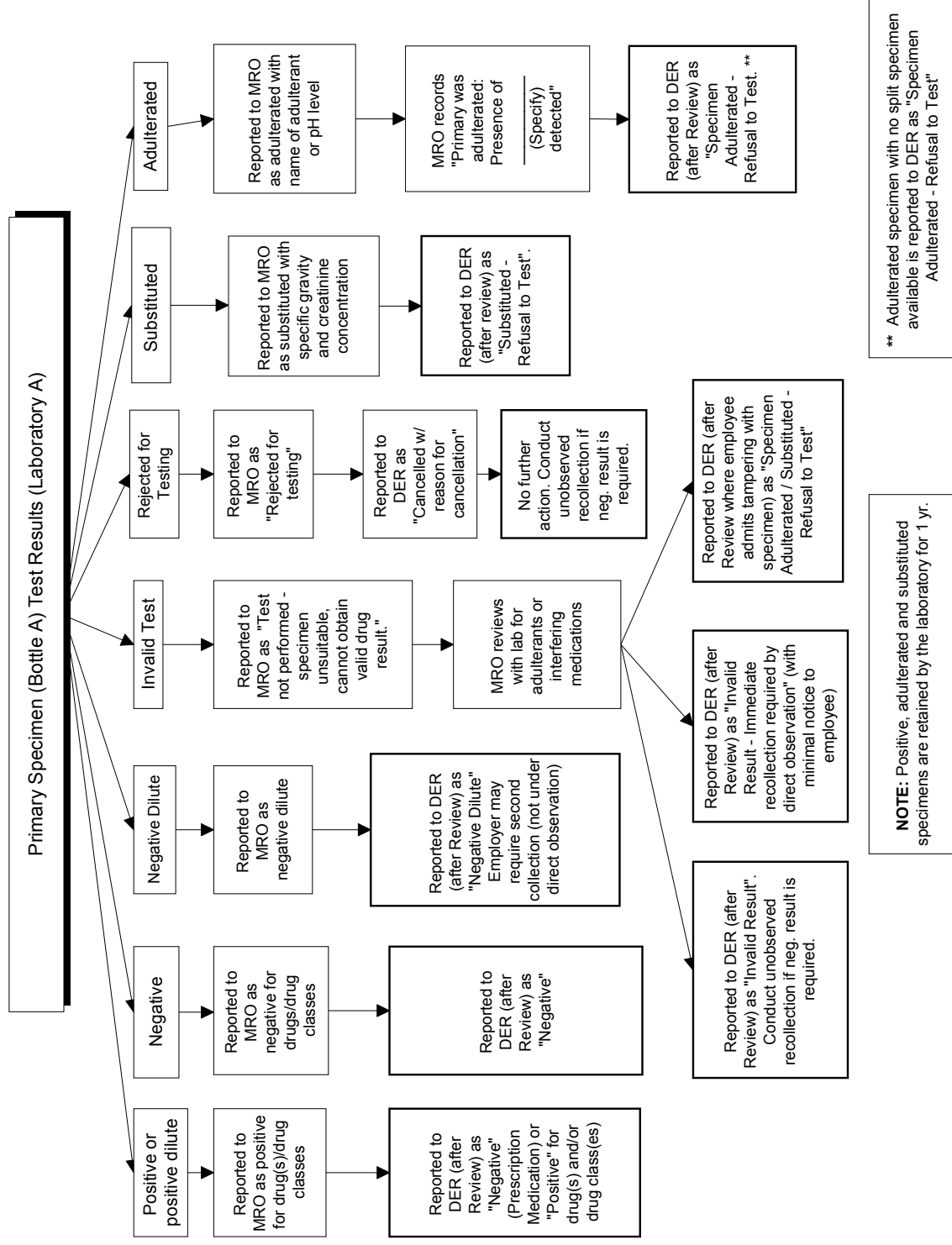
- a. Collections must be distributed unpredictably throughout the designated testing period, covering all operating days (including holidays) and shifts (24-hour clock). There is no expectation that day/night or shift collection distributions be equal but there has to be sufficient testing to establish deterrence by generally mirroring employer operations.

- b. Collections must be unpredictable within a work shift (some collections must be conducted at the beginning, middle, and end). There is no expectation that “within-shift” collection distributions be equal. Sufficient testing must be conducted at the start, middle and end of shifts to provide a deterrence. Both beginning of and ending of shift collections are particularly important. For alcohol testing, at least 10% of successful collections must fall within each period of the shift.
- c. No discretion is allowed with collection dates or collection times which would result in a subjective choice by a field manager/supervisor as to who was actually collected. That is, if a test time frame is permitted in the employer’s program, a manager/supervisor with knowledge of specific personnel assignments may not have discretion in the selection of who will be tested.
- d. Specific reasons for “no-tests” must be documented in writing by the employer, with records maintained for two years. Acceptable reasons for no-tests should relate to critical safety concerns, unforeseen or unpredictable significant adverse impact to operations, or employee illness or vacation.

APPENDIX C

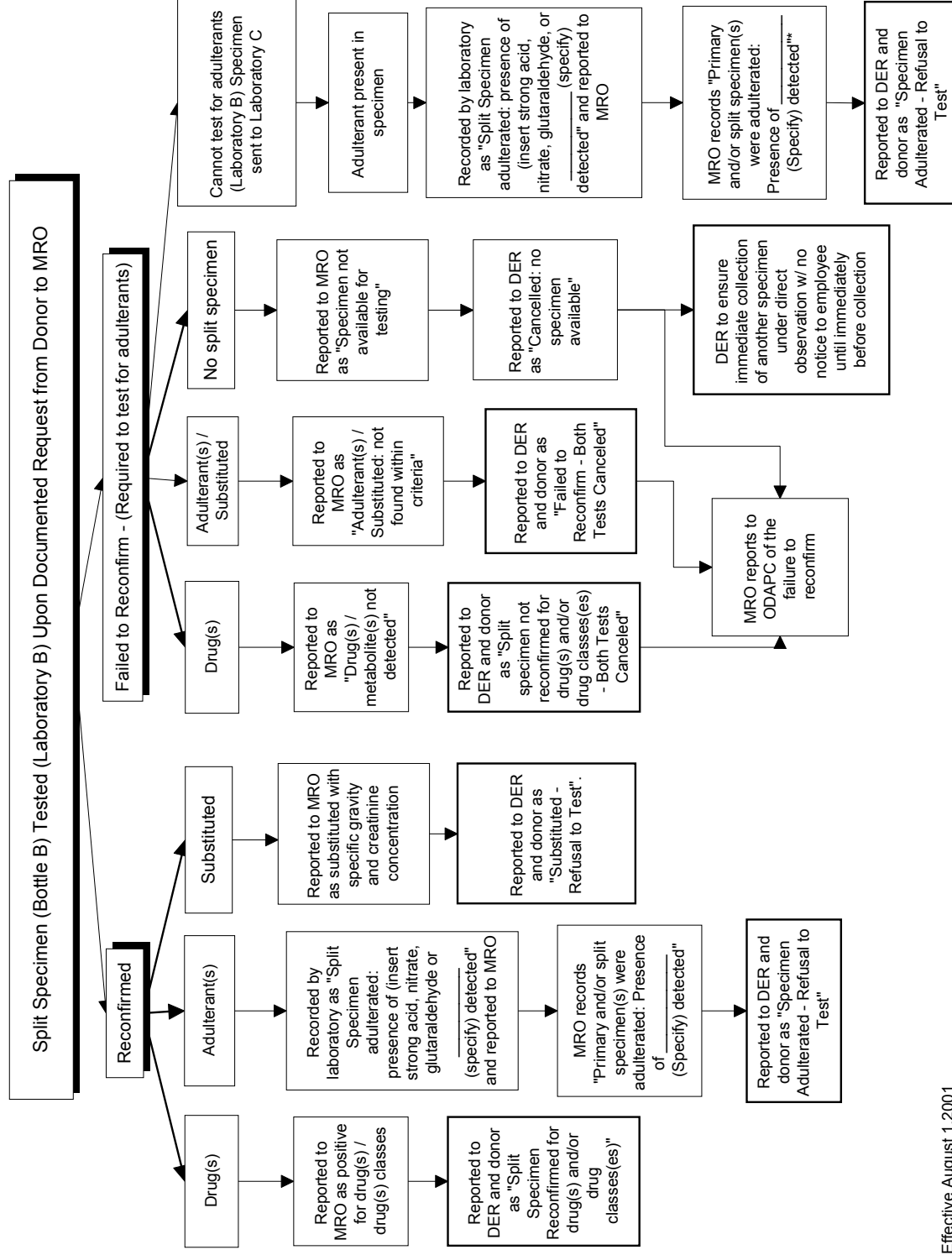
As guidance, attached are two flow charts; one for the handling of primary specimens and one for the handling of split specimens.

FLOW CHART FOR HANDLING OF PRIMARY SPECIMENS



Effective August 1, 2001

FLOW CHART FOR HANDLING OF SPLIT SPECIMENS



Effective August 1, 2001

APPENDIX D

MODAL PROCEDURES TO CONDUCT A FRA-ACCEPTABLE RANDOM TESTING PROGRAM USING A RANDOM NUMBER TABLE FOR SELECTIONS

This addresses how a carrier can properly select covered employees for testing if it is unable to utilize a specialized computer program. The only alternative to a computer-based selection procedure currently accepted by FRA is use of a “random number table.”

Random number tables can usually be found as an appendix to a basic statistics book. They are a series of numbers which have been certified by competent authority to be ordered without predictability or bias. The numbers are most often organized in rows and columns.

Model Selection Procedure Using a Random Number Table:

The carrier must first establish one or more pools of covered employees from which to draw. The method of selection, including a detailed description of the procedures employed, must already be part of a FRA-approved Random Plan. If a random number table is to be used, the carrier must adequately describe the process of selection to ensure that FRA can be confident that the procedure on its face is free from apparent bias or manipulation.

The following procedures can be used as a model of how to use a random number table to select entries from a pool. Carriers may choose to modify these recommended procedures, although care should be taken to retain FRA’s core intent. An illustration of how this model procedure might work in practice is provided in the next section of this guidance document.

1. Assign a sequential number to every pool entry, starting with 1. If there are nine or less total entries, it should be a single digit (e.g., 1). If 10-99, it should be two digits (e.g., 01). If 100-999, it should be three digits (e.g., 001).
2. Based on the testing rate established by FRA for that year, determine the number of entries that you wish to draw from the pool for the upcoming testing period. In accordance with your Random Plan, determine how each selection is to be tested (i.e., which selections are to be tested for drugs and alcohol; for drugs only; and/or for alcohol only).
3. Turn to a random number table, such as the one attached.

4. In accordance with your Random Plan, for each pool, select a point on the table (row and column) to start¹ and a direction to proceed (up, down, across, or diagonal). Record the starting point and direction as part of your retained record for FRA.

Although it may be determined arbitrarily, the selector may not pick the starting point in a manner which gives the appearance of targeting one or more employees for testing. This must be affirmed in the documents retained for FRA audit, either by a witness statement or by the type of process used to pick the starting point and direction.

5. From the starting point, proceed in the selected direction the number of digits assigned to the pool entries (one, two, etc.). Review this first sequence of numbers initiated by the starting point.

If the sequence is within the pre-established parameters (between one and the last number in the pool), it is a valid selection and must be recorded. You then proceed to the next set of numbers in sequence.

If the number is outside the parameters, or a duplicate of a previous selection, the number is to be disregarded and you are to proceed to the next sequence of numbers.

6. When you get to the end of a column or a row, wrap around to the next column or row and proceed as before until you select enough number sequences to meet FRA requirements. Be sure to select sufficient entries so you have alternates in case they are needed.
7. A list of the selections made and a copy of the table the selections were drawn from are additional records that must be retained for two years by the carrier.
8. It is permissible to start the next month's selections from the point left off in the table this month.

Illustration from attached random number table:

ABC Rail has 57 covered employees in a pool and wishes to select three entries this month. In their approved FRA plan, selection one is to be tested for drugs and alcohol, selection two for drugs only, and selection three is the first alternate.

Using the attached random number table, the ABC Rail DER/Program Administrator selects Row 37, Column 2 as the starting point and "across" as the direction. This is properly witnessed and recorded.

¹ This could be done as simply as moving a pointer without looking and letting the pointer land anywhere on the random number table. The individual performing the action and the witness affirming the integrity of the pick should be documented.

With two digit pool entries (57 is between 10 and 99), the DER reviews the first set of two digit numbers from the table. The digits in order are 1, 3. Since thirteen is a valid selection, the DER records pool entry 13 as part of the permanent record. This will be the drug and alcohol test selection.

Proceeding across to the next two digits, the numbers in order are also 1, 3. Since this is a duplicate selection, the numbers are disregarded.

Proceeding to the next two digits, the numbers in order are 7, 8. Seventy-eight is outside the range of 01-57. The number is disregarded. The next two digits (9, 8) are similarly outside the range and are disregarded.

Proceeding to the next two digits (4, 9), forty-nine is a valid number and is recorded as the second selection. This number will be the drug-only test selection.

Proceeding to the next two digits (3, 8), thirty-eight is also a valid number and is recorded as the third (alternate) selection.

Since three valid selections have been made in accordance with the pre-established procedure, the DER terminates the selection process and completes the documentation by matching the selection numbers with the pool entries.

The attached random number table is an example of an acceptable documentation of the random number table portion of the selection process (includes date and signatures of witnesses).

Records:

All records which support the random testing program, including notes, memoranda, pool makeups, number tables, etc., must be retained for a minimum of two years.

NOTE: The attached Random Numbers table is from Downie and Heath, *Basic Statistical Methods*, Fifth Edition, New York: Harper & Row, 1983

RANDOM NUMBERS ABC Rail - 5/18/01 Selections for the month of June 2001

Row	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19
1	9	8	9	6	9	9	0	9	6	3	2	3	3	8	6	8	4	4	2
2	3	5	6	1	7	4	1	3	2	6	8	6	0	4	7	5	2	0	3
3	4	0	6	1	6	9	6	1	5	9	5	4	5	4	8	6	7	4	0
4	6	5	6	3	1	6	8	6	7	2	0	7	2	3	2	1	5	0	9
5	2	4	9	7	9	1	0	3	9	6	7	4	1	5	4	9	6	9	8
6	7	6	1	2	7	5	6	9	4	8	4	2	8	5	2	4	1	8	0
7	8	2	1	3	4	7	4	6	3	0	7	5	0	9	2	0	0	6	1
8	6	9	5	6	5	6	0	9	0	7	7	1	4	1	8	3	1	9	3
9	7	2	1	9	9	8	0	1	6	1	6	2	3	6	9	5	5	8	4
10	2	9	0	7	3	0	8	9	6	3	3	8	5	5	6	5	2	0	9
11	9	4	5	4	5	7	4	0	3	0	1	0	4	3	3	9	5	3	2
12	9	7	7	7	9	4	8	6	8	7	6	1	6	8	2	5	5	5	3
13	4	1	7	8	6	8	1	0	5	8	8	6	1	6	8	2	9	0	4
14	5	0	8	3	3	4	5	4	4	2	5	3	0	4	9	6	1	2	3
15	3	5	0	2	9	4	1	0	0	3	9	0	5	8	6	0	9	9	6
16	0	3	8	2	3	5	1	0	1	0	6	8	5	2	4	8	0	3	8
17	1	7	2	9	1	2	7	8	4	7	0	3	3	1	5	8	2	7	3
18	5	0	5	7	9	5	8	7	8	9	4	5	3	4	4	6	1	1	3
19	7	7	3	3	5	3	6	1	3	2	8	5	4	1	4	8	3	9	0
20	1	0	9	1	3	8	2	5	3	0	3	8	0	9	3	3	0	4	5
21	1	3	8	5	1	8	5	9	4	1	9	3	9	3	6	5	9	8	4
22	8	6	4	7	8	7	5	9	4	1	9	3	9	3	6	5	9	8	4
23	0	6	9	6	5	1	0	3	2	6	7	7	4	9	6	0	3	4	0
24	7	6	7	4	7	0	8	3	8	7	3	2	5	1	2	4	2	9	7
25	3	2	3	8	1	3	1	8	7	4	5	9	0	0	2	4	1	2	1
26	9	2	1	6	4	2	3	8	7	6	2	6	2	6	4	8	1	0	1
27	3	7	4	2	2	8	1	7	8	0	6	0	0	0	3	2	2	9	7
28	0	7	8	0	8	5	1	5	2	6	5	8	7	5	3	0	5	9	6
29	7	4	2	3	3	2	6	0	0	6	5	2	2	3	6	3	9	0	4
30	1	8	2	7	5	9	5	3	6	5	2	9	9	1	1	7	3	4	3
31	4	3	1	8	7	0	6	0	8	6	5	0	1	0	4	0	6	1	5
32	8	5	8	0	6	1	4	1	2	0	4	4	1	4	7	6	3	5	1
33	4	5	8	5	0	4	5	8	3	9	2	8	7	8	9	0	8	4	3
34	5	0	2	5	4	9	2	2	1	1	0	0	5	4	8	7	6	4	0
35	0	8	1	7	0	6	3	3	4	7	6	2	6	8	9	3	4	1	4
36	2	5	9	3	4	6	0	7	5	2	0	0	9	6	0	8	2	2	5
37	2 *	<u>1</u>	<u>3</u>	<u>1</u>	<u>3</u>	<u>7</u>	<u>8</u>	<u>9</u>	<u>8</u>	<u>4</u>	<u>9</u>	<u>3</u>	<u>8</u>	0	2	2	1	8	1
38	3	8	8	6	8	5	1	3	3	4	6	7	2	6	3	4	8	6	7
39	0	9	9	8	5	9	8	4	4	2	2	1	1	0	1	7	6	1	3
40	2	2	3	5	3	0	7	4	4	2	1	4	0	5	8	2	3	0	8

Starting point selection by Ken Swart, Program Administrator; witnessed by Jim Edgell, Trainmaster.

We certify that the selection starting point was made without bias or manipulation.

Ken Swart 5/18/01

James Edgell 5/18/01

RANDOM NUMBERS

Row	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19
1	9	8	9	6	9	9	0	9	6	3	2	3	3	8	6	8	4	4	2
2	3	5	6	1	7	4	1	3	2	6	8	6	0	4	7	5	2	0	3
3	4	0	6	1	6	9	6	1	5	9	5	4	5	4	8	6	7	4	0
4	6	5	6	3	1	6	8	6	7	2	0	7	2	3	2	1	5	0	9
5	2	4	9	7	9	1	0	3	9	6	7	4	1	5	4	9	6	9	8
6	7	6	1	2	7	5	6	9	4	8	4	2	8	5	2	4	1	8	0
7	8	2	1	3	4	7	4	6	3	0	7	5	0	9	2	0	0	6	1
8	6	9	5	6	5	6	0	9	0	7	7	1	4	1	8	3	1	9	3
9	7	2	1	9	9	8	0	1	6	1	6	2	3	6	9	5	5	8	4
10	2	9	0	7	3	0	8	9	6	3	3	8	5	5	6	5	2	0	9
11	9	4	5	4	5	7	4	0	3	0	1	0	4	3	3	9	5	3	2
12	9	7	7	7	9	4	8	6	8	7	6	1	6	8	2	5	5	5	3
13	4	1	7	8	6	8	1	0	5	8	8	6	1	6	8	2	9	0	4
14	5	0	8	3	3	4	5	4	4	2	5	3	0	4	9	6	1	2	3
15	3	5	0	2	9	4	1	0	0	3	9	0	5	8	6	0	9	9	6
16	0	3	8	2	3	5	1	0	1	0	6	8	5	2	4	8	0	3	8
17	1	7	2	9	1	2	7	8	4	7	0	3	3	1	5	8	2	7	3
18	5	0	5	7	9	5	8	7	8	9	4	5	3	4	4	6	1	1	3
19	7	7	3	3	5	3	6	1	3	2	8	5	4	1	4	8	3	9	0
20	1	0	9	1	3	8	2	5	3	0	3	8	0	9	3	3	0	4	5
21	1	3	8	5	1	8	5	9	4	1	9	3	9	3	6	5	9	8	4
22	8	6	4	7	8	7	5	9	4	1	9	3	9	3	6	5	9	8	4
23	0	6	9	6	5	1	0	3	2	6	7	7	4	9	6	0	3	4	0
24	7	6	7	4	7	0	8	3	8	7	3	2	5	1	2	4	2	9	7
25	3	2	3	8	1	3	1	8	7	4	5	9	0	0	2	4	1	2	1
26	9	2	1	6	4	2	3	8	7	6	2	6	2	6	4	8	1	0	1
27	3	7	4	2	2	8	1	7	8	0	6	0	0	0	3	2	2	9	7
28	0	7	8	0	8	5	1	5	2	6	5	8	7	5	3	0	5	9	6
29	7	4	2	3	3	2	6	0	0	6	5	2	2	3	6	3	9	0	4
30	1	8	2	7	5	9	5	3	6	5	2	9	9	1	1	7	3	4	3
31	4	3	1	8	7	0	6	0	8	6	5	0	1	0	4	0	6	1	5
32	8	5	8	0	6	1	4	1	2	0	4	4	1	4	7	6	3	5	1
33	4	5	8	5	0	4	5	8	3	9	2	8	7	8	9	0	8	4	3
34	5	0	2	5	4	9	2	2	1	1	0	0	5	4	8	7	6	4	0
35	0	8	1	7	0	6	3	3	4	7	6	2	6	8	9	3	4	1	4
36	2	5	9	3	4	6	0	7	5	2	0	0	9	6	0	8	2	2	5
37	2	1	3	1	3	7	8	9	8	4	9	3	8	0	2	2	1	8	1
38	3	8	8	6	8	5	1	3	3	4	6	7	2	6	3	4	8	6	7
39	0	9	9	8	5	9	8	4	4	2	2	1	1	0	1	7	6	1	3
40	2	2	3	5	3	0	7	4	4	2	1	4	0	5	8	2	3	0	8

RANDOM NUMBERS, Continued

20	21	22	23	24	25	26	27	28	29	30	31	32	33	34	35	36	37	38	39	40	Row
0	9	7	1	1	9	1	2	7	3	5	1	8	4	0	4	1	0	6	0	3	1
8	3	7	7	9	1	4	9	9	5	9	2	0	1	6	1	2	6	6	7	0	2
2	5	6	3	7	8	3	3	8	4	3	9	3	9	0	0	9	8	3	5	2	3
4	7	0	8	6	6	5	9	6	2	7	3	5	9	0	1	8	0	9	6	9	4
0	9	8	7	3	5	6	8	8	1	2	0	2	3	2	6	4	3	1	9	7	5
5	1	8	8	4	7	0	1	7	6	8	2	1	6	3	2	1	8	1	8	3	6
1	3	7	8	6	9	5	4	1	7	3	8	7	1	5	6	5	6	4	4	6	7
5	9	0	1	5	2	8	6	5	5	7	8	1	8	7	1	2	4	0	4	1	8
2	2	5	5	2	1	8	6	9	8	9	8	0	5	8	9	9	4	1	3	4	9
1	3	4	2	8	5	0	7	9	8	4	3	5	8	0	9	4	6	6	0	5	10
2	6	8	6	6	4	7	1	5	1	6	4	6	7	6	0	8	7	3	5	2	11
8	6	0	1	4	3	9	8	6	8	0	7	6	5	1	9	1	3	7	0	3	12
9	5	7	0	9	8	7	6	0	9	6	5	4	0	3	6	5	6	3	5	0	13
2	2	3	4	7	8	0	2	0	8	0	3	4	9	2	5	7	7	8	6	4	14
2	4	6	1	0	5	0	6	1	4	9	4	7	3	9	1	7	6	4	5	8	15
6	3	4	8	1	6	9	5	6	2	0	4	6	1	6	8	1	9	9	1	1	16
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7	2	6	9	0	7	5	3	2	5	6	2	7	6	3	8	1	4	1	5	1	23
8	2	8	2	4	4	4	2	9	1	9	8	3	4	4	1	0	4	6	9	6	24
7	3	1	4	3	0	4	7	1	3	7	4	8	6	7	3	2	6	6	2	0	25
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2	9	8	7	2	9	6	4	0	2	7	1	3	1	6	8	7	0	9	2	6	28
0	8	0	5	6	8	2	4	3	6	1	3	5	2	3	5	9	8	6	2	1	29
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0	0	5	3	8	3	2	7	5	0	4	7	6	4	6	3	0	4	7	5	3	35
6	2	6	2	0	6	0	1	4	8	9	6	5	9	7	3	6	7	6	5	4	36
6	3	9	0	3	5	0	9	1	2	0	5	9	7	3	2	5	9	3	0	2	37
9	7	3	3	5	4	0	6	4	9	4	7	9	1	4	3	9	7	7	1	8	38
1	9	6	2	9	4	2	9	7	0	3	8	9	5	7	0	6	9	7	2	5	39
5	9	4	5	8	6	2	3	0	6	2	9	8	6	3	0	4	1	0	7	6	40